



## PRIVACY STATEMENT

(The following Privacy Statement is current at 25 July 2018)

This Privacy Statement explains how the CMC Markets Group ("CMC Markets") collects, maintains, uses and discloses your personal information. It also provides some detail about the rights that customers have in respect of their personal information. For the purpose of this Privacy Statement, members of the CMC Markets Group include CMC Markets Asia Pacific Pty Ltd (ABN 11 100 058 213), CMC Markets Stockbroking Limited (ABN 69 081 002 851), and other related companies.

### Personal information

You provide CMC Markets with your personal information when you ask for information about CMC Markets' products and services, when you access and use this and other CMC Markets websites and/or when you submit an application to open an account with CMC Markets. When assessing an application, CMC Markets may also collect information about you from publicly available sources such as company registers.

If you give us personal information about another person, you represent that you are authorised to do so and agree to inform that person who we are, that we will use and disclose that information for the relevant purposes set out below and that they can access the information we hold about them.

CMC Markets maintains records of all transactions and activities on accounts you have with CMC Markets, including details of contracts traded and margin calls made. During the course of your relationship with CMC Markets, we will also gather information about products and services provided to you.

We are required by law to collect information to identify and verify you. CMC Markets may make enquiries as to your identity and other personal details as required by the Anti-Money Laundering and Counter-Terrorism Financing Act 2006. Your personal information will be treated strictly in accordance with the Australian Privacy Principles in the Privacy Act 1988 (Cth) and the 'private sector amendments' contained in The Privacy Amendment (Enhancing Privacy Protection) Act 2012 (Cth).

We may also use your personal information to obtain a credit report from a credit-reporting agency. The report may contain personal credit information about you. We may also contact any credit provider named in the credit report, or any credit provider whose details have been provided to us by you, in order to obtain information relevant to opening your account or collecting overdue payments in relation to any trading activity.

### Telephone Conversations

CMC Markets may record telephone conversations between you and persons working for CMC Markets. Such recordings, or transcripts from such recordings, may be used to resolve any dispute between you and CMC Markets.

### CMC Markets' Websites

We collect statistical information about visitors to our websites such as the number of visitors, pages viewed, types of transactions conducted, time online and documents downloaded. This information is used to evaluate and improve the performance of our websites. Other than statistical information, we do not collect any information about you through our website unless you provide the information to us.

You should also be aware that we use cookies on our websites. A cookie is a small amount of data, which often includes a unique identification number or value that is sent to your browser from a website's computer and stored on your computer's hard drive. Each website can send its own cookies to your browser if your browser allows it. However, to protect your privacy, your browser only allows a website to access the cookies it has sent to your computer.

When cookies are used on our websites, they are used to collect the statistical information referred to above in addition to allowing you to access your account online. When you access your account on-line, a cookie will be created which uniquely identifies your computer and your username and password. This means that you do not have to re-enter those details each time you want to access your account online.

Most internet browsers are set up to accept cookies. If you do not wish to receive cookies, you may be able to change the settings of your browser to refuse all cookies or to have your computer notify you each time a cookie is sent to it, and thereby give yourself the choice whether to accept it or not. If you reject all cookies, you will be unable to access your account online. You can also delete cookies from your computer after they have been created.

### Use of the information by CMC Markets

The information requested in any application to open an account completed by customers is required to enable us to provide a service to you. That information, together with the information collected and maintained by CMC Markets during the course of our relationship with you, is used to manage and administer the products and services provided to you. It is also used to keep you updated whilst you are a customer in relation to various matters including the contracts you have traded, your margin obligations, the funds in your account, and other activities of CMC Markets.

We may also use your personal information to develop an understanding of the products and services that you may be interested in obtaining from CMC Markets and to market such products and services to you.

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CMC Markets may also disclose your personal information to:

- financial institutions and other similar organisations that it deals with in the course of its corporate activities, or those that are nominated by you;
- external service providers and professional advisers (which may be located overseas) that provide services to us;
- any organisation at your request or any persons acting on your behalf, including your financial adviser, broker, solicitor or accountant;
- credit reporting agency, any credit provider named in the report and any credit provider whose details have been provided to us by you;
- regulatory and government bodies from time to time in Australia and other countries; and
- CMC Markets plc and its associates.

Please note that CMC Markets does not sell your personal information to third parties for marketing purposes.

CMC Markets takes all reasonable steps to protect your personal information from misuse, interference, loss, unauthorised access, modification or disclosure.

### **What are your rights?**

You need not give us any of the personal information requested by CMC Markets. However, without that information CMC Markets will not be able to open an account for you where the information is requested in an application form, or to provide you with any other services, information or assistance you have sought.

Your rights are as follows in respect of the personal information we hold about you:

- The right to be informed about processing of your personal data;
- The right to have your personal data corrected if it's inaccurate and to have incomplete personal data completed;
- The right to object to processing of your personal data;
- The right to restrict processing of your personal data;
- The right to have your personal data erased (the "right to be forgotten");

- The right to request access to a copy of your personal data and information about how we process it. Please make all requests for access by calling **1300 658 355** or emailing [service@anzshareinvesting.com](mailto:service@anzshareinvesting.com); and
- The right to move, copy or transfer your personal data ("data portability").

Please note, some of these rights only apply in certain circumstances and we may not be able to fulfil every request. We will stop processing your personal data unless the processing is for the establishment, exercise or defence of legal claims or we have a legitimate business purpose or legal grounds for the processing.

Please contact us if you have any questions or complaints about your privacy. If a complaint is not resolved by CMC Markets to your satisfaction, you may complain to the Privacy Commissioner.

### **Do Not Call Register**

We may contact you by telephone while you hold any product or receive any services from CMC Markets. If you do not want to be contacted by telephone about our products or services and not to disclose your information to others for that purpose, you must request this by calling **1300 660 262**, for registration of your telephone number on our Do Not Call Register.

### **Receiving commercial electronic messages**

With your consent, we may send marketing and/or promotional messages to any electronic address that you provide or for which you are responsible. You warrant that you have authority, either as or on behalf of the electronic account holder, to provide this consent and agree that until you withdraw your consent by providing written notice to us or using an unsubscribe facility in the message, we may continue to send commercial electronic messages to those addresses.

### **Amendments to this Privacy Statement**

CMC Markets may make changes to this Privacy Statement from time to time for any reason.